

UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 C.F.R. 1.53(b))		Attorney Docket No. MAK-105US	
		First Inventor	David Myr
		Title	MACHINE LEARNING AUTOMATIC ORDER TRANSMISSION SYSTEM FOR SENDING SELF-OPTIMIZED TRADING SIGNALS
		Express Mail Label No.	EV 325926059 US

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies
3. <input checked="" type="checkbox"/> Specification [Total Pages 19] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure	ACCOMPANYING APPLICATIONS PARTS 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement of prior application No: _____ / _____ (when there is an assignee) <input type="checkbox"/> Power of Attorney 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input checked="" type="checkbox"/> Other: Certificate of Mailing - Express Mail
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 6] 5. Oath or Declaration [Total Pages 2] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for a continuation/divisional with Box 18 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). c. <input type="checkbox"/> Unexecuted Declaration 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: _____ / _____

Prior application information Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS					
<input checked="" type="checkbox"/> Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here)		or <input type="checkbox"/> Correspondence address below			
Name	Lawrence E. Ashery				
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Name (Print/Type)	Lawrence E. Ashery	Registration No. (Attorney/Agent)	34,515
Signature		Date	July 3, 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

16310 U.S. P10
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FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 415

Complete if Known

Application Number To be assigned
Filing Date Herewith
First Named Inventor David Myr
Examiner Name
Art Unit
Attorney Docket No. MAK-105US

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 18-0350
Deposit Account Name RatnerPREstia

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below
☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	2001	750	375	375		Utility filing fee	375
1002	2002	330	165			Design filing fee	
1003	2003	520	260			Plant filing fee	
1004	2004	750	375			Reissue filing fee	
1005	2005	160	80			Provisional filing fee	

SUBTOTAL (1)

(\$ 375)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
7	-20** = 0	X 9 = 0	
Independent Claims	1	-3** = 0	X 42 = 0
Multiple Dependent		X	= 0

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	2202	18	9			Claims in excess of 20
1201	2201	84	42			Independent claims in excess of 3
1203	2203	280	140			Multiple dependent claim, if not paid
1204	2204	84	42			** Reissue independent claims over original patent
1205	2205	18	9			** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	2051	130	65			Surcharge - late filing fee or oath	
1052	2052	50	25			Surcharge - late provisional filing fee or cover sheet	
1053	2053	130	130			Non-English specification	
1812	2812	2,520	2,520			For filing a request for ex parte reexamination	
1804	2804	920*	920*			Requesting publication of SIR prior to Examiner action	
1805	2805	1,840*	1,840*			Requesting publication of SIR after Examiner action	
1251	2251	110	55			Extension for reply within first month	
1252	2252	410	205			Extension for reply within second month	
1253	2253	930	465			Extension for reply within third month	
1254	2254	1,450	725			Extension for reply within fourth month	
1255	2255	1,970	985			Extension for reply within fifth month	
1401	2401	320	160			Notice of Appeal	
1402	2402	320	160			Filing a brief in support of an appeal	
1403	2403	280	140			Request for oral hearing	
1451	2451	1,510	1,510			Petition to institute a public use proceeding	
1452	2452	110	55			Petition to revive - unavoidable	
1453	2453	1,300	650			Petition to revive - unintentional	
1501	2501	1,300	650			Utility issue fee (or reissue)	
1502	2502	470	235			Design issue fee	
1503	2503	630	315			Plant issue fee	
1460	2460	130	130			Petitions to the Commissioner	
1807	2807	50	50			Processing fee under 37 CFR 1.17(q)	
1806	2806	180	180			Submission of Information Disclosure Stmt	
8021	28021	40	40			Recording each patent assignment per property (times number of properties)	40
1809	2809	750	375			Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	2810	750	375			For each additional invention to be examined (37 CFR § 1.129(b))	
1801	2801	750	375			Request for Continued Examination (RCE)	
1802	2802	900	900			Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 40)

SUBMITTED BY

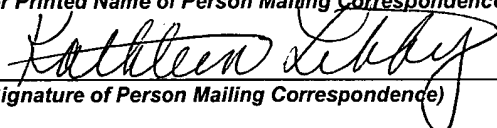
Complete (if applicable)

Name (Print/Type) Lawrence E. Ashen Registration No. Attorney/Agent 34,515 Telephone 610 407 0700
Signature Date July 3, 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): David Myr			Docket No. MAK-105US
Serial No. To be assigned	Filing Date Herewith	Examiner	Group Art Unit
Invention: MACHINE LEARNING AUTOMATIC ORDER TRANSMISSION SYSTEM FOR SENDING SELF-OPTIMIZED TRADING SIGNALS			
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; min-height: 100px;"><p>Utility Patent Application Transmittal (1 w/duplicate); Fee Transmittal (1 w/duplicate); Specification (19) w/ Declaration (2) attached; 6 sheets of Drawings; Assignment Transmittal (1) w/ Assignment (2) attached, Return Receipt Postcard and check</p></div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: MAIL STOP: PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on July 3, 2003</p> <div style="text-align: right; margin-right: 50px;"><p><u>Kathleen Libby</u> <i>(Typed or Printed Name of Person Mailing Correspondence)</i></p><p> <i>(Signature of Person Mailing Correspondence)</i></p><p><u>EV 325926059 US</u> <i>("Express Mail" Mailing Label Number)</i></p></div>			
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